



1751 PINNACLE DRIVE  
SUITE 1700  
MCLEAN, VIRGINIA 22102

TEL 703 • 714 • 7400  
FAX 703 • 714 • 7410

THOMAS M. BLASEY  
PARTNER \*not admitted in VA  
DIRECT DIAL. 703 • 714 • 7552  
EMAIL: tblasey@hunton.com

March 15, 2001

FILE NO: 57940.000002

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**Express Mailing No.**  
**\*EK713541879US\***

Re: Filing of New U.S. Utility Patent Application  
Title: APPARATUS AND METHOD FOR MACRO  
FINANCIAL RISK ANALYSIS AND PROCESSES  
Inventors: Dale Franklin GRAY  
Attorney Docket No.: 57940.000002

Dear Sir:

Attached is a new patent application for filing in the United States Patent and Trademark Office including 13 pages of Specification, 5 pages of Claims (numbered 1-20), one (1) page Abstract, 4 sheets of Drawings (labeled Figs. 1, 2a, 2b and 3). Also enclosed is an executed Sole Declaration and a Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(ii). This U.S. Application is claiming priority from Provisional Application No. 60/189,474 filed March 15, 2000.

The filing fee is calculated as follows:

				AMOUNT
				<b>BASIC FILING FEE</b>
				<b>\$355.00</b>
		No. of Claims	No. in Excess	Rate
Number of Claims in Excess of: <b>20</b>	20	0	\$ 18.00	<b>0.00</b>
Independent Claims in Excess of: <b>3</b>	2	0	\$ 80.00	<b>0.00</b>
First Presentation of Multiple Dependent Claims				
Reduce by ½ for Small Entity				
Assignment Recordation Fee				
<b>TOTAL FEE DUE</b>				<b>\$355.00</b>



ATTORNEY DOCKET NO.: 57940.000002

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Applicant qualifies for reduced fees as a small entity. Enclosed is a check in the amount of \$355.00 to cover the basic application filing fee. In the event of any variance between the indicated and the Patent and Trademark Office charges, please charge or credit any difference to the undersigned's Deposit Account No. 50-0206.

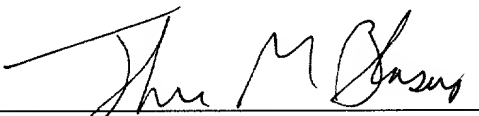
Please direct all communication concerning this application to:

Thomas M. Blasey, Esq.  
Hunton & Williams  
1900 K Street, NW, Suite 1200  
Washington, D.C. 20006-1109

Telephone: (202) 955-1500  
Facsimile: (202) 778-2201

Respectfully submitted,

HUNTON & WILLIAMS

By:   
Thomas M. Blasey  
Registration No. 33,475

Dated: March 15, 2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**NONPUBLICATION REQUEST  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

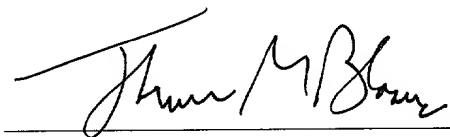
First Named Inventor	GRAY, Dale Franklin
Title	APPARATUS AND METHOD FOR MACRO FINANCIAL RISK ANALYSIS AND PROCESSES
Atty Docket Number	57940.000002

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

3/15/01

Date

 33,475

Signature

Thomas M. Blasey 33,475

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

3-16-01

Attorney Docket No. 57940.000002

A

03/15/01  
J1064 U.S. PTO

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of :	)	Express Mailing No.:
	)	*EK713541879US*
Dale Franklin GRAY	)	
	)	
Serial No.: Not Yet Assigned	)	Group Art Unit: Not Yet Assigned
	)	
Filed: March 15, 2001	)	Examiner: Not Yet Assigned
	)	
For: APPARATUS AND METHOD FOR	)	
MACRO FINANCIAL RISK	)	
ANALYSIS AND PROCESSES	)	

J1036 U.S. PTO  
09/809768  
03/15/01

**CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. §1.10**

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D. C. 20231

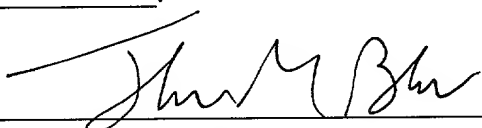
Sir:

I hereby certify that this correspondence is being deposited with the United States Postal

Service with sufficient postage as Express Mail in an envelope addressed to:

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Crystal Plaza 2  
Suite 1A031  
2011 South Clarke Place  
Arlington, VA 22202

on 3/15/01  
Date

  
\_\_\_\_\_  
Signature  
Thomas M. Blasey  
\_\_\_\_\_

Typed or printed name of person signing Certificate

Documents being submitted with this Certificate of Express Mailing include:

- Utility Transmittal 2 pages;
- Specification 13 pages; Claims 5 pages (numbered 1-20); Abstract 1 page; and Drawings 4 sheets (labeled Figs 1, 2a, 2b and 3);
- Executed Sole Declaration (2 pages);
- Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(ii);
- Return postcards; and
- Check No. 8026514 in the amount of \$355.00 for filing fee.

Hunton & Williams  
1900 K Street, N.W., Suite 1200  
Washington, D.C. 20006-1109  
(202) 955-1500 (Telephone)  
(202) 778-2201 (Facsimile)